

Review of Oversight and Monitoring Functions Report As Required by HB 381, Section 3(a)(3)

House Bill 381, Section 3 (a) (3) requires the Department to "Review the oversight and monitoring functions currently implemented by the Department to determine the effectiveness of the activities in achieving the intended results. Improve the oversight and monitoring functions and activities, if necessary." The list below outlines the current areas of monitoring and oversight conducted by the divisions within the Department of Health and Human Services.

CURRENT ITEMS THAT ARE MONITORED THROUGH THE DMH/DD/SA SYSTEM

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
Accreditation of Licensed Providers	DFS, AP	T10.14V.0606	3 years
Accreditation of Unlicensed providers	AP	T10.14V.0606	3 Years
CAP-MR/DD providers accredited/certified	AP, DMA, DMH	CAP-MR/DD Waiver	Annual Medicaid Audit
In-home Respite physical plant requirements	DFS, DMH	APSM 30-1 .6302	Annually
Companion Respite operations	DFS, DMH	APSM 30-1 .6302	Annually
Specialized Foster Care	DFS, DMH, DSS	APSM 30-1 .6601	Annually
Alcohol and Drug Education and Treatment Services	DMH	ASPM .3800	Annually
Staff to disclose Criminal convictions	DFS	APSM 30-1 .0202(a) SB 1192	Annually
Medical statements for direct care providers	DMH	APSM 30-1 .0202(h)	Annually
In-State PRTF	DFS, DMH, DMA	APSM 30-1 / APSM 45-2 /122-C	Annually
Out-Of-State PRTF	DMH, DMA	APSM 30-1 / APSM 45-2 /122-C	Annually
Health Care Registry Report	DFS	Session Law 2000-55	Annually
State Psychiatric Hospitals Conditions of Participation	DFS	Conditions of Participation	Annually

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
State Psychiatric Hospitals - Special Conditions	DFS	Special Conditions	Annually
Emergency Medical Treatment and Active Labor Act	DMH	42 USC Sec. 1395dd	Annually
A/P & State Hospital staffs work together around admissions, Treatment & D/C's of Adult Mental Health clients	DMH	Performance Agreement; NCAC 15A.0114-0.0129; MHBG Sect 1913(c)(1)(E)	Annually
Federal Mental Health Block Grant	DMH	MHBG	Annually
Appropriateness of Diagnosis	AP, DMH, DMA	APSM 30-1 .0604 (4)(A)	Ongoing, Annual Medicaid Audits
Quality of Medicaid Appeals Process	DMH, DMA	42CFR 431.E	Annually
MR/MI Person Centered plans and incident reporting	DMH	MR/MI Special Provision	Annually
Death Reporting	DMH, DFS	APSM 30-1, Rev. 1/1/01, T10:	Annually
Maintain full agency lead status for CAP/MR - DD	DMH	CAP-MR/DD Waiver	Annually
Core Indicators	DMH	Performance Agreement	Annually
Single Portal Rules	DMH	122C-132.1	Annually
Waiting List - maintain data base	DMH	Performance Agreement	Annually
Reduce DD Waiting List by 10%	DMH	Performance Agreement	Annually
Social Services Block Grant	DMH	SSBG	Annually
Complete the NC SNAP	DMH	Performance Agreement	Annually
Early Childhood Intervention Services community Reviews	AP, DMH, DPH	Performance Agreement	Annually
Follow along for children discharged from ECIS	AP, DMH, DPH	APSM 30-1 .2504	Annually

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
Specialized Foster Care Placement Care Agreement	DSS, AP	APSM 30-1 .6603	Annually
Clinical Services Management: 24/7 immediate screening/assessment & crisis stabilization	DMH, DFS	APSM 40-3 4.1	Annually
Client Data Warehouse, Continuous Outcome Indicators, At-Risk Outcome Indicators, MR/MI PCP's, Incident reports, & death reports, Client Outcomes Initiative to include MH/SAS COI, DD COI, and TOPPS)	DMH	APSM 40-3 3.4; APSM 30-1 .0711;	Quarterly
TASC (Treatment Alternatives to Street Crimes)	DMH	APSM .0400	Annually
Controlled Substances	DMH	Federal Register 0.900 Controlled SA Act	Annually
SA Primary Prevention	DMH	CFR 45 CFR Pt. 96	Annually
Substance Abuse Prevention and Treatment Block Grant	DMH	CFR 45 Pt. 96	Semi-Annually
SA Juvenile Justice	DMH, DJJ	Performance Agreement; grant (MAJORS, Youth Academies, Detention Centers, Multi-purpose homes)	Quarterly
Atypical Anti-Psychotic Med. Funding	DMH	HB 1840 Non-Medicaid Reimbursement changes Section 11.7	Annually
PATH Grant	DMH	Part C of Title V of Public Health Service Law	Annually
Special Community Initiatives, Continuation & Expansion (Jail diversion, Supportive housing, Vocational Initiatives	DMH	Fed MHBG & State Budget Act HB 1840	Annually

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
Shelter Care Plus	DMH	HUD Rules and Regs & grant requirements. 24 CFR Part 582 Federal Register	Annually
HUD 811 Facilities Operations	DMH	HUD Requirements	Annually
HOME Rental Program	DMH	HUD Requirements	Annually
Adult Mental Health Revolving Loan Fund	DMH	MHBG	Quarterly
SB 10 Safety & Security in Adult Care Homes	DMH, DSS	2000 SB 10	Annually
Continuous unrestricted fund balance of at least one month's operational costs assuring consistent availability of services to clients within overall funding levels with county managers of single county programs providing sufficient financial backing for assuring consistent availability of services to clients within overall funding levels.	DMH, Controller's Office, AP	GS 122-C-112 (a)(16); GS 122-C 124(a); GS 122-C 125; GS 122-C144.1(b) 10NCAC 14C.1018	Annually
TANF (Temporary Assistance for Needy Families)	DMH	GS 108 A -29.1& 108A-25.2 compliance with TANF Block Grant requirements, S1005. Section 5.1.(o)	Annually
Volume Of Service Submission (Regular UCR; At-Risk UCR; MR/MI UCR; Adult Mental Health special categorical Adult & Youth Homeless in 7 A/P's)	DMH	GS 122-C 144.1	
Medicaid Funding Manual (including any Waiver Programs)	DMH, DMA	Medicaid Service Guidelines (1999)	Annually

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
Documentation of paybacks for non-compliance items identified during the annual Medicaid Service audit	DMH, DMA	Medicaid Service Guidelines (1999)	Annually
Olmstead	DMH	Olmstead v. L. C. (1999)	Annually
Federal Drug Free Schools	DMH	Safe and Drug Free Schools and Communities Act (1994) SDFCA Sec. 4011	Annually
Federal Access To Resources For Community Health (ARCH) Grant	DMH	S838, U.S. Child Abuse, Domestic Violence, Adoption and Family Services Act of 1991.	Annually
Federal Performance Outcome	DMH	Block Grants For Prevention And Treatment Of Substance Abuse (SABG). Public Health Service Act, Title XIX, Part B, Subpart II, as amended, Public Law 102-321; 42 U.S.C. 300X; and 45 CFR, Part 96 General Statutes 122C-117; 122C-141, 122C-143.2, and NCAC T10 .1159.	Annually
Federal Substance Abuse Demand and Prevention Services	DMH	SABG	Annually
Federal SA Demand & Needs Assessment	DMH	SABG	Annually
Federal NC Families & Communities (FACES)	DMH	CMHS Grant - 1997	Annually
Federal Combating Underage Drinking	DMH	SABG	Annually
Federal / State Incentive Grant	DMH	SABG	Annually
Federal IV-E Training Funds	DSS, DMH	1980 96-272, Adoption Assistance and Child Welfare Act.	Annually
Achieve and maintain Accreditation by the Council on Accreditation	DMH	T10.14V.0602	Four Year Cycle
Client Rights Committee	DMH, DFS, AP	APSM 95-2: 4R.0104	Annual Review

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
Improve penetration rates of children in DSS custody	DMH, DSS	Performance Agreement	Annually
Facilitate admission to local hospitals for clients who need acute inpatient treatment	DMH	10 NCAC 15A .0100	Quarterly
A/P and Hospital Agreement	DMH	APSM 30-.0502	Annually
Notification the one A/P will contract or operate services in another A/P catchment	DMH	APSM 30-1 .0505	Annually
Assessment and / or Treatment Plan to include provisional Diagnosis within 30 days	DMH, DFS	APSM 30-1 .0203 (a)(3)	Annually
Signed statement from client or legal guardian to grant permission to seek emergency medical care	DMH, DFS	APSM 30-1 .0204 (a)(6)	Annually
Parental rights	DMH, DFS	APSM 30-1 .0805	Annually
Intensive Family Preservation Services (IFPS)	DMH	143B-150.5 MH & SA Law	Annually
Agency will establish and support advisory board whose composition is at least 50% parents with children with or at risk of disabilities who are currently receiving or have received early intervention services	DMH, DPH	IDEA, Part C	Annually
NC System of Care Network	DMH, DSS, DJJ	Federal Grant SM52907-02;	Annually
Services to Children At-Risk for Institutional or other out of home placement	DMH, DSS, DJJ	122-C120, Sect. 11.21	Annually
At-Risk Children Assessment	DMH	Performance Agreement	Annually

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
At-Risk Utilization Review (UR) Plans	DMH	At-Risk Special Provision	Annually
I.D. Children At-Risk for Institutionalization or other out of home placement	DMH	At-Risk Special Provision	Annually
Community Collaboratives for At-Risk Children	DMH	At-Risk Special Provision	Annually
Submit At-Risk Children service plans within 30 days of eligibility	DMH	At-Risk Special Provision	Annually
Establish A/P local Community Collaboratives	DMH	At-Risk Special Provision	Annually
A /P will provide parents / guardians timely notice of a child's at-risk eligibility	DMH	At-Risk Special Provision	Annually
Criterion 5	DMH, DMA	10 NCAC 26B.0113	Annually
Requirements for Infants and Toddlers	DMH, DPH	APSM 30-1 .0803	Annually
Surrogate Parents	DMH	APSM 30-1 .0804	Annually
Approved Foster Homes	DMH	APSM 30-1 .6602	Annually
Interagency agreement re: A/P's and DSS's role in providing safety, permanency & well-being of children, including timely access to MH assessments	DMH, DSS, DJJ	At-Risk Special Provision	Annually
Client Rights	DMH, DFS, AP	APSM 95-2	Annually
Cost Finding Report	DMH, Controller's Office, DMA	GS 122-C 143.2(a); GS122-C 144.1(b); Funding Systems Operating Manuals Vol. IV:Fiscal Requirements; Vol IV Cost Finding Requirements	Annually
Revenue Adjustment Reports	DMH, Controller's Office	GS 122C-144.1(b) & Funding Systems Operating Manual, Vol. IV: Fiscal Requirements	Annually
AP Single Audit	AP, Controller's Office, DMH	GS 147-86.10	Annually

ITEM	MONITORING DIVISION OR UNIT	REQUIREMENT	FREQUENCY
MH/DD/SA Prison Review	DOC, DMH	Departmental Policy	Annually
Preadmission Screening and Annual Resident Review (PASARR)	DMH, DMA	Omnibus Budget Reconciliation Act (OBRA) of 1987	Annually

The above list does not include any special reviews conducted by the DHHS Office of the Internal Auditor or by the Attorney Generals' Medicaid Office. These reviews are by special request only and are not routinely conducted system wide.

As part of the state plan implementation timeline, the following tasks was established: "Establish local monitoring protocols for use by LME & credential local auditors; coordinate with DFS licensure review & include relationship with national accreditation & deemed status." This task is being completed through a workgroup consisting of stakeholders. The work group will make recommendations in late spring for initial implementation effective July 1, 2002. The implementation will be phased in due to required rule revisions, statutory changes or modifications to funding grants or service definitions. The minutes of the work group are posted on the Division of MH/DD/SAS web page. In addition, the information will be included in the quarterly reports required for submission to the Legislative Oversight Committee.